



**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**  
(Attorney Docket No.: 109878.124)

Applicant(s): Ferrari, et al.

Serial No.: 09/961,131

Filed: September 21, 2001

For: SCALABLE HIERARCHICAL DATA-DRIVEN NAVIGATION  
SYSTEM AND METHOD FOR INFORMATION RETRIEVAL

Group Art Unit: 2771

Examiner: Not Yet Assigned

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**CERTIFICATE UNDER 37 C.F.R. 1.8(a)**

I hereby certify that this correspondence is being as first class mail in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231 on the date set forth below.

10-22-02

Date

Anthony W. Sutton

**FOURTH INFORMATION DISCLOSURE STATEMENT**  
**WITH STATEMENT UNDER 37 C.F.R. § 1.97(e)(1)**

Commissioner:

Applicants and their attorney are aware of the following publications and information listed on the attached PTO Form 1449, and in accordance with 37 CFR §1.97 hereby submit these publications for the Examiner's consideration.

Applicant states under 37 C.F.R. §1.97(e)(1) that the publications were cited in an International Search Report issued in connection with a counterpart Patent Cooperation Treaty application No. PCT/US01/17046 not more than three months prior to the filing of this statement. A copy of the International Search Report is also enclosed for the Examiner's review.

It is respectfully requested that the information above be expressly considered during the prosecution of this application and that the publications be made of record therein and appear among the "References Cited" on any patent to issue therefrom. In this regard, it is requested that the Examiner initial and return a copy of the enclosed Form PTO-1449 with the next Patent Office Communication.

This submission does not represent that a search has been made and does not constitute an admission that the listed documents are material to patentability or that the listed documents are prior art. If it should be determined that any of the listed documents do not constitute "prior

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art" under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of such documents.

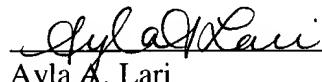
Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits and is therefore submitted as both timely and proper; therefore, no fees are believed to be due.

The Commissioner, however, is hereby authorized to charge any fee deficiency or credit any overpayment to Deposit Account No. 08-0219. A duplicate copy of this sheet is enclosed for that purpose.

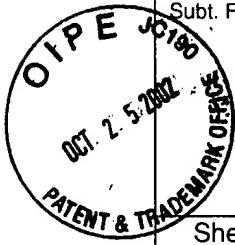
Respectfully submitted,

Date: 10/22/02

  
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Sub. Form PTO-1449  INFORMATION DISCLOSURE IN AN APPLICATION  (Use several sheets if necessary)				Docket Number 109878.124	Application Number 09/961,131
				Applicant Ferrari, et al.	
Sheet	1	OF	1	Filing Date September 21, 2001	Group Art Unit 2173

U.S. Patent Documents						
EXAMINER INITIAL	DOCUMENT NUMBER	PUB/PAT DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	US2002/0091696	7/11/02	Craft, et al.	707	10	1/4/99
	6,094,650	7/25/00	Stoffel, et al.	707	3	
	5,983,220	11/9/99	Schmitt	707	5	

Foreign Patent Documents						
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO

Other Documents (Including Author, Title, Date Pertinent Pages, Etc.)		
A1	Pollitt, et al. "HIBROWSE For Bibliographic Databases" <i>Journal of Information Science</i> , ), (1994), Vol. 20 (6), pp. 413-426	
A2	Baeza-Yates, et al., "New Approaches to Information Management: Attribute-Centric Data Systems" <i>Proceedings Seventh International Symposium on String Processing and Information Retrieval</i> , (2000), pp. 17-27	

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EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation is considered, whether or not citation is in conformance with MPEP § 609: Draw Line through citation if not conformance and not considered. Include copy with next communication to applicant.	